PTO/SB/21 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 10/737,389

Filing Date December 16, 2003

First Named Inventor En-Yi Liao

Art Unit not yet known

Examiner Name not yet known

Attorney Docket Number 10033.000400

Total Number of Page	es in This Submission	5 **	Attorn	ey Docket Number	10033.000400		
ENCLOSURES (check all that apply)							
Fee Transmittal Form		Assignment Papers (for an Application)  Drawing(s)			After Allowance Communication to Group		
Fee Attached		☐ Licensing-related Papers			Appeal Communication to Board of Appeals and Interferences		
☐ Amendment / Re	ply	Petition			Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)		
☐ After Final			to Conv		Proprietary Information		
☐ Affidavits/ded	claration(s)			ey, Revocation espondence Address	Status Letter		
Extension of Time Request		Terminal Disclaimer			Other Enclosure(s) (please identify below):		
Express Abandonment Request		Request for Refund  CD, Number of CD(s)		•	PTO Form SB-08a; Return receipt postcard		
☑ Information Disclosure Statement							
Certified Copy of Priority Document(s)		Remarks ** does not include pages of listed references			ages of listed references		
Response to Missing Parts/ Incomplete Application							
Response to Missing Parts under 37 CFR 1.52 or 1.53							
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT							
Firm Patrick D. Benedicto, Reg No. 40,908 OKAMOTO & BENEDICTO LLP							
Signature	æ						
Date	March 30, 2004						
	CERTIFICATE OF MAILING						

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name Patrick D. Benedicto

Signature Panuseain

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO:** 

Date

March 30, 2004



## N THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

En-Yi Liao

Serial No. 10/737,389

Filed:

December 16, 2003

Title: Technique for Intercepting Data in a

Peer-to-Peer Network

Examiner: not yet known

Art Unit: not yet known

Atty. Dkt. No.: 10033.000400

Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT

Under 37 C.F.R. §1.56 and §§1.97-98

Sir:

Pursuant to the provisions of 37 CFR 1.56 and §§1.97-98, enclosed herewith is form PTO/SB/08 (substitute for form 1449A/PTO) listing references which may be material to the examination of this application, and with respect to which there may be a duty to disclose. The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

A copy of each listed reference is enclosed herewith, unless no such copy is required pursuant to 37 CFR § 1.98(d).

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior
application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the
references cited therein are hereby listed but are not required to be provided in
this application under 37 CFR § 1.98(d).

Pursuant to 37 CFR §1.97, this Information Disclosure Statement is being submitted under the section indicated below.

$\boxtimes$	37 CFR §1.97(b).
	37 CFR §1.97(c). If so, then either:  Applicant certifies pursuant to 37 CFR § 1.97(e) that either:  each item of information contained in this Information  Disclosure Statement was cited in a communication from a  foreign patent office in a counterpart foreign application not  more than three months prior to the filing of this Statement; Ol  no item of information contained in this Information Disclosure  Statement was cited in a communication from a foreign patent  office in a counterpart foreign application or, to the knowledge  of the person signing this certification after making reasonable  inquiry, was known to any individual designated under 37 CFF  § 1.56 (c) more than three months prior to the filing of this  Statement.  OR  Applicant submits the petition fee of \$180 as set forth in 37 CFR §  1.17(p).
	37 CFR § 1.97(d). If so, then both:  □ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:  □ each item of information contained in this Information  Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more that three months prior to the filing of this Statement; OR no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.  AND  □ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

Consideration of the listed references and favorable action are respectfully solicited.

Respectfully submitted,

En-Yi Liao

Dated: March 30, 2004

V. Pania Bedir

Patrick D. Benedicto
Attorney For Applicant(s)
Reg. No. 40,909
OKAMOTO & BENEDICTO LLP
P.O. Box 641330

San Jose, CA 95164-1330 Tel.: (408) 436-2110

Fax: (408) 436-2114

CERTIFICATE OF MAILING						
deposited with the Commissioner for I Express Mail Mail:	e Unit Patent ing Nu	ed States Post s, P.O. Box 14 mber is filled		class mail in an e 2313-1450 on the da correspondence is	nvel ate bei	ope addressed to:
Signature:		Párich e	45			
Typed or Printed Name: Patrick D.		Patrick D.	Benedicto	Date	d:	March 30, 2004
Express Mail Ma: (optional):	iling	Number				

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSUR

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 1

Complete if Known					
Application Number	10/737,389				
Filing Date	December 16, 2003				
First Named Inventor	En-Yi Liao				
Art Unit	not yet known				
Examiner Name	not yet known				
Attorney Docket Number	10033.000400				

			U.S. PATENT D	OCUMENTS	
Examiner Initials *	Cite No. <sup>1</sup>	Document Number  Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevan Passages or Relevant Figures Appear
	Α -	US- 5,444,850	Aug. 22, 1995	Chang	
	В	US- 5,623,600	Apr. 22, 1997	Ji, et al.	
	С	US- 5,680,547	Oct. 21, 1997	Chang	
	D	US- 5,889,943	Mar. 30, 1999	Ji, et al.	
	E	US- 5,951,698	Sept. 14, 1999	Chen, et al.	
	F	US- 5,960,170	Sept. 28, 1999	Chen, et al.	
	G	US- 5,983,348	Nov. 9, 1999	Ji	
	Н	US- 6,119,165	Sept. 12, 2000	Li, et al.	, , , , , , , , , , , , , , , , , , , ,
	1	US- 6,272,641	Aug. 7, 2001	Ji	· · · · · · · · · · · · · · · · · · ·
		US-			
		US-		. "	
		US-			
		US-			
_		US-			
	· · ·	US-		1	
-		US-			

	FOREIGN PATENT DOCUMENTS							
Examiner Cite No.1		Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>		
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> ( <i>if known</i> )						
				, . <u>-</u>				
	L							

Examiner Signature	· ·	Date Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁵ Applicant is to place a check mark here if English language

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.